

## TRANSMITTAL FORM

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Total Number of Pages in This Submission

13

Application Number	10/632,482	
Filing Date ,	August 1, 2003	
First Named Inventor	PHAN, LOC X.	
Art Unit	3732	
Examiner Name	Unassigned	
Attorney Docket Number	018563-001130US	

	<u></u>	ENCLOSURES (Check all that apply	·)	·	
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Attorney Docket No.: 018563-001130US Client Reference No.: AT-00014.2

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On 9/2/01/

TOWNSEND and TOWNSEND and CREW LLP

Tiffany Wu

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LOC X. PHAN et al.

Application No.: 10/632,482

Filed: August 1, 2003

For: ATTACHMENT DEVICES AND

METHODS FOR A DENTAL

APPLIANCE

Examiner: Unassigned

Art Unit: 3732

SUPPLEMENTAL INFORMATION

DISCLOSURE STATEMENT UNDER 37

CFR §1.97 and §1.98

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Electronic copies of the references are enclosed on 1 CD-ROM disk.

It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

The references cited in the accompanying PTO/SB/08A and PTO/SB/08B, were indentified by either or both parties in litigation between Align Technology, Inc., assignee of the above-referenced patent application, and Ormco Corporation in case no. SACV 03-16-GLT

LOC X. PHAN et al.

Application No.: 10/632,482

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(ANX) before the U.S. District Court, Central District of California, Southern Division, as being potentially relevant to the design, fabrication, and/or use of removable orthodontic appliances and/or to the use of computers or other automatic means for calculating final or intermediate tooth positions for orthodontic treatment.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that <u>no fee is required</u> for submission of this statement.

However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

James M. Heslin Reg./No. 29,541

TOWNSEND and TOWNSEND and CREW LLP Two Embarcadero Center, Eighth Floor

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JMH:tfw 60298143 v1

Substitute for form 1449A/PTO Complete if Known **Application Number** 10/632,482 INFORMATION DISCLOSURE Filing Date August 1, 2003 STATEMENT BY APPLICANT First Named Inventor PHAN, LOC X. Art Unit 3732d (use as many sheets as necessary) **Examiner Name** Unassigned 018563-001130US Sheet 10 **Attorney Docket Number** 

		Document Number				
Examiner Initials*	Cite No.1	Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Pa Applicant of Cit		Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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	во	5,184,306	02-02-1993	Erdman et a		
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				Application Number	10/632,482	
INFO	ORMATION	1 DI	SCLOSURE	Filing Date	August 1, 2003	
STA	TEMENT E	3Y A	APPLICANT	First Named Inventor	PHAN, LOC X.	
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Sheet	2	of	10	Attorney Docket Number	018563-001130US	

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	СТ	EP	091,876	A1	10-19-1983	Duret		
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-	cv	EP	376.873	A2	07-04-1990	Shafir		
	cw	EP	490,848	B1	06-17-1992	Andersson et al.		
	СХ	EP	541,500	A1	06-12-1998	Andersson et al.		

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Substitu	ute for form 1449A/P	го			Complete if Known
	•			Application Number	10/632,482
INF	ORMATION	1 DI	SCLOSURE	Filing Date	August 1, 2003
STA	TEMENT E	3Y A	APPLICANT	First Named Inventor	PHAN, LOC X.
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Sheet	3	of	10	Attorney Docket Number	018563-001130US

				<b>FOREIGN PA</b>	TENT DOCUME	ENTS		
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STAT	EMENT	BY A	PPLICANT	First Named Inventor	PHAN, LOC X.
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Sheet	4	of	10	Attorney Docket Number	018563-001130US

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials *	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T 2
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<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.

Substitute	for form 1449	в/РТО		Complete if Known		
	DALATI	0 N DIO	01 001105	Application Number	10/632,482	
_			CLOSURE	Filing Date	August 1, 2003	
STAT	STATEMENT BY APPLICANT			First Named Inventor	PHAN, LOC X.	
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		NON PATENT LITERATURE DOCUMENTS					
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INFO		M DIC	OL OCUBE	Application Number	10/632,482		
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STAT	EMENT	BY A	PPLICANT	First Named Inventor	PHAN, LOC X.		
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		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials *	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Т
	FD	HOFFMANN et al., "Role of Cephalometry for Planning of Jaw Orthopedics and Jaw Surgery Procedures," (Article Summary in English, article in German), <i>Informationen</i> , (March 1991), pp. 375-396.	
	FE	HUCKINS, "CAD-CAM Generated Mandibular Model Prototype from MRI Data," AAOMS 1999, p. 96.	
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•	FP	KLEEMANN et al., "The speed positioner" J. Clin. Orthod., 30:673-680, 1996.	
•	FQ	KURODA et al., "Three-dimensional dental cast analyzing system using laser scanning" Am. J. Orthod. Dentofac. Orthop., 110:365-369, 1996.	
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<del></del>	FT	MCNAMARA et al., Orthodontic and Orthopedic Treatment in the Mixed Dentition, Needham Press, January 1993. pp.347-353.	
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	GA	NISHIYAMA et al., "A new construction of tooth repositioner by LTV vinyl silicone rubber" J. Nihon University School of Dentistry, 19(2):93-102, 1977.	
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	GD	PONITZ, Invisible Retainers, 59 Am. J. Orthodontics, March 1971, pp. 266-272.	
	GE	Procera Research Projects, PROCERA Research Projects 1993 — Abstract Collection, 1993, pp. 3-28.	
	GF	REKOW, "A Review of the Developments in Dental CAD/CAM Systems,"(contains references to Japanese efforts and content of the papers of particular interest to the clinician are indicated with a one-line summary of their content in the bibliography), Dental Clinics: <i>Prosthodontics and Endodontics</i> , pp.25-33, 1992.	
	GG	REKOW, "CAD/CAM in Dentistry: A Historical Perspective and View of the Future," <i>Journal</i> , Vol. 58 No. 4, (April 1992), pp. 283, 287-288.	
	GH	REKOW, "Computer-Aided Design and Manufacturing in Dentistry: A Review of the State of the Art," The Journal of Prosthetic Dentistry, Vol. 58, No. 4 (Oct. 1987), pp. 512-516.	
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	GJ	REKOW, "Feasibility of an Automated System for Production of "Dental Restorations," PhD Thesis, Univ. of Minnesota, Nov. 1988, 244 pages total.	
· ·	GK	RICHMOND et al., Research Reports; "The development of a 3D Cast Analysis System," British Journal of Orthodontics, pp. 53-54.	
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** **	GO	SCHELLHAS et al., "Three-Dimensional Computer Tomography in Maxillofacial Surgical Planning," Arch Otolamgol Head Neck Surg. Vol. 114 (April 1988), pp. 438-442.	
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	GS	Sirona Dental Systems GmbH, CEREC 3D, Manuel utilisateur, Version 2.0X (in French), 2003, 114 pages total.	
	GT	STOLL et al., "Computer-aided Technologies in Dentistry" (Article Summary in English, article in German), Dtsch Zahnärztl Z 45, 314-322, 1990.	
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	GZ	VAN DER ZEL, "Ceramic-fused-to-metal Restorations with a New CAD/CAM System," Quintessence International, vol. 24(11) (1993), pp. 769-778.	
	на	VÁRADY et al., "Reverse Engineering of Geometric Models - An Introduction," May 13, 1996, pp. 1-28.	
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